



DEPARTMENT OF THE NAVY
SPACE AND NAVAL WARFARE SYSTEMS COMMAND
WASHINGTON, D.C. 20363-5100

SPAWARINST 12451.2A
SPAWAR 18-71
26 August 1988

SPAWAR INSTRUCTION 12451.2A

From: Commander, Space and Naval Warfare Systems Command

Subj: SUGGESTION AND INVENTION AWARDS FOR MILITARY AND CIVILIAN PERSONNEL

Ref: (a) SPAWARINST 12451.3
(b) SPAWARINST 12451.1
(c) CPI 451
(d) SECNAVINST 1650.1E
(e) OPNAVINST 1650.8C

Encl: (1) Procedures for Processing Suggestions Submitted by Headquarters Personnel
(2) Procedures for Processing Suggestions Referred from Other Commands/Activities
(3) Contribution Investigation Report, NAVSO 5305/5

1. Purpose. To provide policy, procedures and assignment of responsibilities for administration of military and civilian cash awards for suggestions and for inventions.

2. Cancellation. This instruction cancels SPAWARINST 12451.2.

3. Applicability. This instruction applies to the processing of contributions and awards by SPAWAR headquarters, regardless of the source of such contributions. By reference (a), SPAWAR activities are authorized to establish their own Incentive Awards Programs, which must include suggestions.

4. Policy. It is the policy of the Commander, Space and Naval Warfare Systems Command that:

a. Employees shall be encouraged to contribute their ideas for improvements in technology, processes, systems, methods, etc., which could result in real savings to the government or increased efficiency of operations.

b. Employee contributions which are submitted in accordance with this instruction will be processed in a timely manner, evaluated objectively, and given fair consideration prior to acceptance or rejection.

5. Responsibility. As stated in reference (b), the Commander, Space and Naval Warfare Systems Command, provides general direction, and the Director, Management and Operations Directorate (SPAWAR 18) has functional responsibility for the overall Incentive Awards Program. Specific

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responsibilities for suggestion and invention awards are assigned organizationally as follows:

a. The Administrator, Incentive Awards Program, Civilian Personnel Programs Branch (SPAWAR 18-71) is responsible for program operation, for making award recommendations and for providing guidance and assistance to personnel at all levels within the command concerning this instruction.

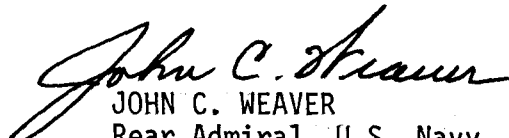
b. Deputy Commander, Assistant Commanders, Program Directors and Heads of Directorates and Staff Offices are responsible for ensuring prompt action on any contribution which has been referred to any part of their organization for technical review and evaluation. Exercise of this responsibility requires control and follow-up on the contribution in accordance with the procedures in this instruction. A point of contact for suggestions is to be appointed for each organization.

6. Suggestion Procedures. The procedures of this instruction are established in accordance with reference (c). Enclosure (1) covers suggestions submitted by headquarters personnel. Enclosure (2) applies to suggestions referred from commands or activities external to SPAWAR headquarters, including referrals from SPAWAR activities. Evaluators may copy enclosure (3) for reporting their evaluation.

7. Invention Awards. Inventions of value to the Federal Government qualify for award consideration. To protect the interests of the inventor and the government and to ensure eligibility for an award, the invention disclosure should be submitted promptly to the Office of Patent Counsel (SPAWAR OOC) so as to allow ample time for review, evaluation and patent processing. Value of patent awards shall be determined in accordance with reference (d) for SPAWAR civilian employees and reference (e) for SPAWAR military personnel. Upon request from SPAWAR OOC, cash award payment and presentation will be arranged by SPAWAR 18-71. After the patent related awards, if any, have been paid, the inventor has the right to submit the invention as a suggestion for possible, additional cash award.

8. Action. All personnel assigned responsibilities by this instruction will fully discharge those responsibilities effective immediately.

9. Forms. OPNAV 5305/1 forms, mentioned in enclosure (1), can be obtained from the SPAWAR Forms Room, NC#1, Room 1S22 or from SPAWAR 18-71. NAVSO 5305/5 forms can be obtained from SPAWAR 18-71 or may be reproduced locally.


JOHN C. WEAVER
Rear Admiral, U.S. Navy

Distribution:
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PROCEDURES FOR PROCESSING SUGGESTIONS SUBMITTED BY HEADQUARTERS PERSONNEL

1. Submission. A suggestion must be in writing and signed by the suggester; if suggested by a group, all suggesters must sign. Use of form OPNAV 5305/1, DON Suggestion, is recommended, but not mandatory. Any improvement idea not submitted on the Department of Navy Suggestion form must be identified as a suggestion submitted for possible award. The suggestion should be routed through the supervisory chain to SPAWAR 18-71. A suggestion which has not passed through the supervisory chain may be accepted by SPAWAR 18-71, but the suggestion will be referred back to the supervisor for a determination as to whether the suggestion is within the normal job requirements of the suggester. The suggester's supervisor must verify in writing that the suggestion is outside of the suggester's normal job responsibilities.

2. Processing and Evaluation

a. Within ten days of receipt of the suggestion, SPAWAR 18-71 will:

- (1) Assign a suggestion number.
- (2) Establish a control record card.
- (3) Provide acknowledgement of receipt to the suggester.

(4) Enter the suggestion into the tickler file for follow-up to ensure timely evaluation.

(5) Forward the original suggestion, with the evaluation form (NAVSO 5305/5) and supplemental guides to the evaluator via the point of contact for suggestions within the organization.

b. The evaluator will be a recognized subject matter specialist for the particular suggestion. The approving official will be an official who has authority to initiate adoption or deny adoption based on knowledge of earlier adoption of a similar suggestion.

c. The evaluator will review the suggestion, complete the evaluation form, make appropriate comments on the form, and return it to SPAWAR 18-71 within 20 workdays after receipt. The evaluator should contact the suggester or supervisor of the suggester if additional information is required. If it is necessary that the suggestion be routed to another code for comment or coordination, which prevents completion of the evaluation within the 20 workdays limit, SPAWAR 18-71 will be informed of the delay. The official evaluation must be done on the evaluation form, not on the route sheet; however, unofficial comments may be made on the route sheet, which also becomes a part of the suggestion file.

d. Action to refer a suggestion, for evaluation or approval, to a field activity, laboratory, contractor or other command will be taken by

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the assigned evaluator. When this action is taken, SPAWAR 18-71 will be provided a copy of the transmitting correspondence, which shows the suggestion number and name of the suggester. An estimated completion date for the evaluation will also be provided to SPAWAR 18-71.

e. When the suggestion is not to be considered for adoption, the evaluator will provide specific reasons for rejection on the evaluation form, NAVSO 5305/5. The reasons for non-adoption should be sufficiently definitive so they may be quoted in the response to the suggester without additional comments. SPAWAR 18-71 is responsible for notifying the suggester, in writing, that the suggestion has not been adopted.

f. When the suggestion is to be adopted, the evaluation form, NAVSO 5305/5, will show how and when the suggestion is being implemented, and will provide specific information on the benefits to be derived from use of the suggestion. When feasible, the evaluator may attach correspondence or other documents related to implementation of the suggestion. The entire suggestion file, with evaluation, will be returned to SPAWAR 18-71. Based upon the written evaluation, SPAWAR 18-71 will make an award recommendation and forward to SPAWAR 09/00 for approval.

g. COMSPAWAR or another appropriate official in the chain of command will present individual monetary awards of \$7,500 or more. Cash awards of lesser amounts will be presented by the Deputy Commander or the cognizant Assistant Commander, Program Director, or Head of the Directorate or Staff Office, with appropriate ceremony.

3. Follow-up. To ensure timely completion of all suggestion evaluations, the following responsibilities and actions are required:

a. The Deputy Commander, Assistant Commanders, Program Directors and Heads of Directorates and Staff Offices will be responsible for establishing such internal control procedures as may be necessary to ensure timely action by a suggestion evaluator under his/her supervision or management.

b. If, after 30 days from receipt of the suggestion, the evaluation has not been completed, SPAWAR 18-71 will furnish the suggester an interim status report. In the absence of a status report from the evaluator, SPAWAR 18-71 will send to the evaluator via the cognizant Deputy Commander, Assistant Commander, Program Director, or Head of Directorate or Staff Office, a request for completion of the evaluation, or a status report. Periodically thereafter, depending upon the particular circumstances of the case, SPAWAR 18-71 will make further follow-ups on the suggestion. If several follow-ups fail to produce an adequate response, the matter may be elevated to SPAWAR 18 or SPAWAR 10, as appropriate.

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Procedures for Processing Suggestions Referred from Other Commands/Activities

1. Referral. Suggestions are usually referred to SPAWAR headquarters for one of two purposes. One purpose is to obtain an evaluation when the originating command or activity does not have the expertise to evaluate the suggestion locally or does not have authority to implement it. The other purpose is to seek broader application of the suggestion (i.e., throughout SPAWARSYSCOM, within the Navy, or within DOD), after the suggestion has already been adopted by the referring command or activity.

2. Control and Evaluation

a. Suggestions received from other commands/activities will be processed as action correspondence. All incoming mail regarding suggestions will be assigned a mail control number by the Administrative Services Division (SPAWAR 18-5) and will be routed to SPAWAR 18-71 for action.

b. Within ten days of receipt of the suggestion, SPAWAR 18-71 will:

- (1) Establish a control record card.
- (2) Provide the command/activity an acknowledgement of receipt.
- (3) Enter the suggestion into the tickler file for follow-up.

(4) Forward the original suggestion, with the evaluation form (NAVSOP 5305/5) and supplemental guides to the evaluator via the point of contact for suggestions within the organization.

c. The evaluator will be the recognized subject matter specialist for the particular suggestion. The approving official will be an official who either has authority to initiate adoption, to recommend adoption to higher authority, or to deny adoption based on knowledge of earlier adoption of a similar suggestion.

d. The evaluator will review the suggestion, complete the evaluation form, make appropriate comments on the form, and return it to SPAWAR 18-71 within 20 workdays after receipt. The evaluator may contact the referring command/activity if additional information is required. If it is necessary that the suggestion be routed to another code for comment or coordination, which prevents completion of the evaluation within the 20 workdays limit, SPAWAR 18-71 will be informed of the delay. Any correspondence or other information developed by the evaluator becomes part of the suggestion file.

e. Action to refer a suggestion, for evaluation or approval, to a field activity, contractor or other command will be taken by the assigned evaluator. When this action is taken, SPAWAR 18-71 will be provided a copy of the transmitting correspondence, which shows the suggestion number, name of suggester, and the referring command/activity. An estimated completion date for the evaluation will also be provided to SPAWAR 18-71.

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f. When the suggestion is not recommended for adoption, or is not to be accorded broad application, the evaluator will provide specific reasons for rejection on the evaluation form, NAVSO 5305/5. The reasons for non-adoption should be sufficiently definitive so that they may be quoted in correspondence without additional comments. The evaluation and complete suggestion file will be returned to SPAWAR 18-71, who will notify the originating activity, in writing, that the suggestion has not been adopted.

g. When the suggestion is recommended for adoption or extended application, the evaluation form, NAVSO 5303/5, will show the plan for implementation, and will provide specific information on the benefits to be derived from use of the suggestion. Pertinent documents, such as an implementing directive or copy of an EIB article, should be included in the suggestion file. The entire suggestion file, with evaluation, will be returned to SPAWAR 18-71.

h. SPAWAR 18-71 is responsible for taking necessary action and preparing closing correspondence, based upon the written evaluation, to finalize the suggestion case. If an award is to be paid by SPAWAR, the paperwork to effect payment will be initiated by SPAWAR 18-71. Based upon the written evaluation, SPAWAR 18-71 will make an award recommendation and forward to SPAWAR 09/00 for approval. Arrangements for COMSPAWAR or another appropriate official in the chain of command to present individual monetary awards of \$7,500 or more, with appropriate ceremony, may be requested by the originating activity via SPAWAR 18-71.

3. Follow-up. To ensure timely completion of all suggestion evaluations, the Deputy Commander, Assistant Commanders, Program Directors, Heads of Directorate and Staff Offices, and SPAWAR 18-71 are responsible for establishing internal controls and taking follow-up action, in accordance with paragraph 3 of enclosure (1).

POSITION TITLE, AND GRADE OR RANK/RATE

ACTIVITY OF CONTRIBUTOR(S) (Name and location)

ORGANIZATIONAL CODE AND TITLE

TO:

DATE FORWARDED

DUE DATE

A complete evaluation of this contribution is necessary and all questions that apply should be answered. Although you may not have authority to implement the contribution, you are requested to give your opinion on its value. Do not merely state that authority to adopt the contribution is under the cognizance of GSA, VA, Treasury, etc. YOUR REPLY MAY BE USED VERBATIM IN NOTIFYING THE CONTRIBUTOR(S) OF THE RESULTS.

SIGNATURE OF AWARDS ADMINISTRATOR

ACTIVITY AND LOCATION

INVESTIGATION REPORT

YES NO

1. WILL CONTRIBUTION BE ADOPTED LOCALLY? (If "NO" give reason for nonadoption in space 4 and answer questions 5 and 6 only)

2. IS CONTRIBUTION IN OPERATION? (Complete items below)

IF "YES" GIVE DATE INSTALLED IF "NO" INDICATE BELOW THE ACTION TAKEN TOWARD ADOPTION

☐ COMMITMENT TO ADOPT
HAS BEEN MADE☐ PROJECT OR JOB ORDER
HAS BEEN ISSUED☐ EXPERIMENTAL WORK OR
TRIAL TEST IS UNDER WAY☐ APPROVAL HAS
BEEN REQUESTED

3. ESTIMATE OF BENEFITS

A. INTANGIBLE BENEFITS

VALUE

☐ MODERATE☐ SUBSTANTIAL☐ HIGH☐ EXCEPTIONAL

EXTENT OF APPLICATION

☐ LIMITED☐ EXTENDED☐ BROAD☐ GENERAL

B. TANGIBLE BENEFITS (In table below compute labor savings at actual cost.)

ITEM	LABOR			MATERIAL			TOTAL (LABOR AND MATERIALS)
	Hours Per	Dollars Per Hour	TOTAL	Units Per	Cost Per Unit	TOTAL	
FORMER METHOD		\$	\$		\$	\$	\$
NEW METHOD							
SAVINGS							

4. ADDITIONAL INFORMATION AND COMMENTS

(If more space is needed, use reverse side starting with this end of the page up. )

5. IS PATENT INVESTIGATION RECOMMENDED?

YES NO

SIGNATURE OF INVESTIGATOR

DATE

6. IF CONTRIBUTION CAN BE USED ELSEWHERE, INDICATE WHERE:

ACTIVITY AND LOCATION OF INVESTIGATOR

APPROVING OFFICIAL

DATE

CONTRIBUTION INVESTIGATION REPORT NAVSO 5305/5 (1-78) 5 PT
S/N 0104-LF-905-0525

NAVY INCENTIVE AWARDS PROGRAM

ENCLOSURE (3)